

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Chan *et al.*
SERIAL NO.: Not yet assigned GROUP NO.: Not yet assigned
FILING DATE: Herewith EXAMINER: Not yet assigned
TITLE: Filter Models for Dynamic Control of Complex Processes

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or
- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**

- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [**check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required**]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,



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| FORM PTO - 1449 | | | | ATTORNEY DOCKET NO.: IBX-003 | | | | | |
| INFORMATION DISCLOSURE STATEMENT | | | | APPLICANT(S): Chan <i>et al.</i> | | | | | |
| | | | | SERIAL NO.: Not yet assigned | | | | | |
| | | | | FILING DATE: Herewith GROUP: Not yet assigned | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | | |
| EXAM. INIT. | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE | | |
| | A1 | 5,877,954 | 03/02/99 | Klimasauskas et al. | | | 05/03/96 | | |
| | A2 | 6,110,214 | 08/29/00 | Klimasauskas | | | 08/23/96 | | |
| | A3 | 6,246,972 | 06/12/01 | Klimasauskas | | | 05/27/99 | | |
| | A4 | 6,278,899 | 08/21/01 | Piche et al. | | | 10/06/98 | | |
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| FOREIGN PATENT DOCUMENTS | | | | | | | | | |
| EXAM. INIT. | | DOCUMENT NUMBER | DATE | COUNTRY CODE | CLASS | SUB CLASS | FILING DATE | ABSTRACT ONLY | ENGLISH LANG (Y/N) |
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| OTHER ART, JOURNAL ARTICLES, ETC. | | | | | | | | | |
| EXAM. INIT. | OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication) | | | | | | | | |
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